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DATE

November 6, 2003

TO	COMPANY NAME	FAX NO.	PHONE NO.
Office of Initial Patent Examination's Filing Receipt Corrections	U.S. Patent and Trademark Office	703-746-9195	

TOTAL NO. OF PAGES

8

FROM

Ian G. DiBernardo

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CLIENT/MATTER NO.

061801/1061

MESSAGE

APPLICANT: JAMES P. DAVIDOWITZ ET AL.

APPLICATION NO.: 10/615,428

FILED: JULY 7, 2003

TITLE: METHOD AND SYSTEM FOR INITIATING PAIRS
TRADING ACROSS MULTIPLE MARKETS HAVING
AUTOMATIC PRICE HEDGE

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Received from < > at 11/6/03 5:57:41 PM [Eastern Standard Time]

Docket No.
061801/1061

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: James P. Davidowitz et al

Group Art Unit: 3624

Application No.: 10/615,428

Examiner: N/A

Filed: July 7, 2003

For: **METHOD AND SYSTEM FOR INITIATING PAIRS TRADING
ACROSS MULTIPLE MARKETS HAVING AUTOMATIC
FOREIGN EXCHANGE PRICE HEDGE**

Date: November 6, 2003

CERTIFICATE OF TRANSMISSION
BY FACSIMILE (37 C.F.R. § 1.8)

Mail Stop Commissioner for Patents

Commissioner for Patents

PO Box 1450

Alexandria, Virginia 22313-1450

Sir:

I hereby certify that the following correspondence:

Request for Corrected Filing Receipt, Page 2 of the Combined Declaration and Power of Attorney, Copy of the Official Filing Receipt for Provisional Application Serial Number 60/483,487, Copy of Filing Receipt with changes indicated in red

is being transmitted by facsimile to the United States Patent and Trademark Office in accordance with 37 C.F.R. § 1.8 on the following date: **November 6, 2003**

Ian G. DiBernardo

(Typed Or Printed Name Of Person Signing this Certificate)


(Signature)

STROOCK

November 6, 2003

Ian G. DiBernardo
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Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Attn: Office of Initial Patent Examination's
Filing Receipt Corrections

Re: U.S. Patent Application Serial No. 10/615,428
Applicants: James P. Davidowitz et al.
For: METHOD AND SYSTEM FOR INITIATING PAIRS TRADING
ACROSS MULTIPLE MARKETS HAVING AUTOMATIC
FOREIGN EXCHANGE PRICE HEDGE
Attorney Docket No. 061801/1061

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir or Madam:

We have received a Filing Receipt for the above-identified patent application and have noted that the domestic priority data section does not include the provisional information from which this application is based. At the time of filing, the provisional application to which priority has been claimed had not yet received an application serial number, and therefore could not be included in this application.


In the Domestic Priority Data section of the Filing Receipt, please add the priority information as shown below:

60/483,487 filed 6/27/2003

In support, we enclose Page 2 of the Combined Declaration and Power of Attorney which indicates the filing date of the provisional application. Additionally, we provide a copy of the Filing Receipt for Provisional Application Number 60/483,487 which shows both the application number and filing date from which the above-referenced application is based. Applicants respectfully request that the priority information be added to the Filing Receipt. A copy of the Filing Receipt with applicants' requested correction indicated in red is also enclosed.

Applicants further respectfully request that a new and corrected Filing Receipt be issued.

Respectfully submitted,

By 
Ian G. DiBernardo
Registration No. 40,991
Attorney for Applicants
Stroock & Stroock & Lavan LLP
180 Maiden Lane
New York, New York 10038
212-806-5400
Enclosures



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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/615,428	07/07/2003	3624	834	061801/1061	13	16	4

CONFIRMATION NO. 7410

Steven B. Pokotilow, Esq.
 Stroock & Stroock & Lavan LLP
 180 Maiden Lane
 New York, NY 10038

FILING RECEIPT



OC00000001098428

Date Mailed: 10/06/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

James P. Davidowitz, New York, NY;
 Patrick Burke, New York, NY;
 Linda Mok, New York, NY;
 Victor Osinaga, New York, NY;
 Kenneth Ngai, Forest Hills, NY;
 William Mercado, Cortlandt Manor, NY;

Domestic Priority data as claimed by applicant

60/483,487 Filed 6/27/2003

Foreign Applications

If Required, Foreign Filing License Granted: 10/03/2003

Projected Publication Date: 01/13/2005

Non-Publication Request: No

Early Publication Request: No

Title

Method and system for initiating pairs trading across multiple markets having automatic foreign

exchange price hedge

Preliminary Class

705

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

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NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**COMBINED DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION
(Page 2)**

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below

Application No
Not Yet Known

Filed (Day/Mo./Yr.)
27 June 2003

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>Application No.</u>	<u>Filed (Day/Mo./Yr.)</u>	<u>Status</u> (Patented, Pending, Abandoned)
------------------------	----------------------------	---

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration numbers).

Lawrence Rosenthal, Reg. No. 24,377
Steven B. Pokotilow, Reg. No. 26,405
James J. DeCarlo, Reg. No. 36,120
Matthew W. Siegal, Reg. No. 32,941
David L. Schaeffer, Reg. No. 32,716
Ian G. DiBernardo, Reg. 40,991



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APPL NO.	FILING OR 371 (c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
60/483,487	06/27/2003		160	061801/1053	13		

CONFIRMATION NO. 9226

Steven B. Pokotilow, Esq.
 Stroock & Stroock & Lavan LLP
 180 Maiden Lane
 New York, NY 10038

FILING RECEIPT



OC000000010750016

Date Mailed: 08/22/2003

Receipt is acknowledged of this provisional Patent Application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

James P. Davidowitz, New York, NY;

If Required, Foreign Filing License Granted: 08/22/2003

Projected Publication Date: None, application is not eligible for pre-grant publication

Non-Publication Request: No

Early Publication Request: No

Title

Method and system for initiating pairs trading across multiple markets having automatic foreign
 exchange price hedge

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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NOT GRANTED

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